



BILLING CODE: 3410-30-P

DEPARTMENT OF AGRICULTURE

Food and Nutrition Service

Agency Information Collection Activities; Proposed Collection; Comment Request:

Report of Disqualification from Participation-Institutions and Responsible

Principals/Individuals (FNS-843) and Report of Disqualification from Participation-

Individually Disqualified Responsible Principal/Individual or Day Care Home Provider

(FNS-844)

AGENCY: Food and Nutrition Service (FNS), USDA.

ACTION: Notice.

SUMMARY: In accordance with the Paperwork Reduction Act of 1995, this notice invites the general public and public agencies to comment on a proposed information collection.

This collection is a new collection for maintaining the National Disqualified List of institutions, day care home providers, and individuals that have been terminated or otherwise disqualified from Child and Adult Care Food Program (CACFP) participation. These federal requirements affect eligibility under the CACFP. The State Agencies will be required to enter data as institutions and individuals become disqualified from participating in the CACFP. The new collection is the result of a FNS web-based system constructed to update and maintain the list of disqualified institutions and individuals so that no State agency or sponsoring organization may approve any entity on the National Disqualified List to ensure the integrity of the Program.

DATES: Written comments must be submitted by (insert date that is 60 days following the publication of this notice in the Federal Register).

ADDRESSES: Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (b) the accuracy of the agency's estimate of the burden of the proposed collection of information, including the validity of the methodology and assumptions that were used; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of collection of information on those who are to respond, including use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.

Comments may be sent to: Jon Garcia, Acting Branch Chief, Program Analysis and Monitoring Branch, Child Nutrition Division, Food and Nutrition Service, U.S. Department of Agriculture, 3101 Park Center Drive, Room 640, Alexandria, Virginia 22302. Comments will also be accepted through the Federal eRulemaking Portal. Go to <http://www.regulations.gov>, and follow the online instructions for submitting comments electronically.

All written comment(s) will be open for public inspection at the office of the Food and Nutrition Service during regular business hours (8:30 a.m. to 5 p.m., Monday through Friday) at 3101 Park Center Drive, Room 640, Alexandria, Virginia 22302.

All responses to this notice will be summarized and included in the request for Office of Management and Budget (OMB) approval, and will become a matter of public record.

FOR FURTHER INFORMATION CONTACT: Jon Garcia at (703) 305-2600.

SUPPLEMENTARY INFORMATION:

Title: National Disqualified List

OMB Number: 0584-XXXX

Expiration Date: TBD

Type of Request: New collection

Form Number: FNS-843 and FNS-844

Abstract: The Food and Nutrition Service administers the Child Nutrition Act of 1966, as amended (42 U.S.C. 1771, et seq.). Section 243(c) of Public Law 106-224, the Agricultural Risk Protection Act of 2000, amended section 17(d)(5) of the Richard B. Russell National School Lunch Act (42 U.S.C. 1766 (d)(5)(E)(i) and (ii)) by requiring the Department of Agriculture to maintain a list of institutions, day care home providers, and individuals that have been terminated or otherwise disqualified from Child and Adult Care Food Program participation. The law also requires the Department to make the list available to State agencies for their use in reviewing applications to participate and to sponsoring organizations to ensure that they do not employ as principals any persons who are disqualified from the program. New forms FNS-843 and FNS-844 will be used to collect and maintain this data. This statutory mandate has been incorporated into § 226.6(c)(7) of the Program regulations. In addition, the recordkeeping burden associated with maintaining documentation related to institutions and providers terminated for cause at the State agency level is captured under the Information Collection for the CACFP OMB Control

Number 0584-0055, expiration date 8/31/2013. Therefore, there is no recordkeeping burden associated with this collection.

Affected Public: State Agencies

Estimated Number of Respondents: 56

Estimated Number of Responses per Respondent: 28

Estimated Total Annual Responses: 1,568

Estimate Time Per Response: .50

Estimated Total Annual Burden: 784

Affected Public	Instrument	Est. No. of Respondents	No. of Responses per Respondent	Total Annual Responses	Est. Total Hours per Response	Est. Total Burden
Reporting						
State Agencies	FNS 843	56	6	336	.50	168
State Agencies	FNS 844	56	22	1232	.50	616
Total Estimated Reporting Burden		56	---	1,568	---	784

AUDREY ROWE
Administrator
Food and Nutrition Service

February 28, 2013
Date

Department of Agriculture, Food and Nutrition Service

REPORT OF DISQUALIFICATION FROM PARTICIPATION - INSTITUTION AND RESPONSIBLE PRINCIPALS/INDIVIDUALS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. The valid OMB number for this collection is 0584-XXXX. The time required to complete this information collection is 30 minutes per response, including the time to review instructions, to search existing data resources, to gather the data needed, and to complete and review the information collection.

Section 243(c) of Public Law 106-224, the Agricultural Risk Protection Act of 2000, amended § 17(d)(5) of the Richard B. Russell National School Lunch Act (42 U.S.C. 1766 (d)(5)(E)(i) and (ii)) by requiring the Department of Agriculture to maintain a list of institutions, day care home providers, and individuals that have been terminated or otherwise disqualified from Child and Adult Care Food Program (CACFP) participation. The law also required the Department to make the list available to State agencies for their use in reviewing applications to participate and to sponsoring organizations to ensure that they do not employ as principals any persons who are disqualified from the Program. This statutory mandate has been incorporated into § 226.6(c)(7) of the CACFP regulations.

Instructions: Within the National Disqualified List web-based system, users click on "Add Institution" on the task bar to add the disqualification information of an institution and the responsible principals/individuals (RPI). When adding an institution and RPIs, fields that are marked with an "*" are required to be completed in order to save the record.

Upon entering the address, users click on "Validate Address". If the system does not recognize the address, an error message is displayed and the user must alter the address or override the validation.

Select at least one disqualification reason. If "Other" is selected, it must be explained in the "Additional Comments" section.

Enter all of the RPIs. If there is a debt associated with the institution, at least one of its RPI is responsible for the debt.

If the entered data passes all validations, the institution and RPI information is saved into the system when the "Save" button is clicked. After saving the information, State agency users cannot edit the information. If any changes need to be made to the saved record, State agency users must contact the FNS Regional Office to modify the record. After successfully saving the record, the disqualification status of the newly added institution and associated RPIs is set to "Pending". It will display this status until the FNS Regional Office approves the disqualification.

Institution			
Institution Name:		Type of Institution:	
Federal Employee Identification Number:		DUNS Number:	
Street Number:	Street Name/PO Box Number:	Additional Address Information:	
City:	State/Province:	Zip Code:	
Other Business Names: (Please enter other business names below)			
		Note: Users have the ability to validate the address within the National Disqualified List web-based system.	
Disqualification Information			
State Agency Imposing Disqualification:		Region:	
Termination Date:		Debt Owed:	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Original Debt Amount: (Please enter the amount in U.S. dollars)		Amount Paid: (Please enter the amount in U.S. dollars)	
Date Debt Paid in Full:			
Disqualification Reasons: (Please select one or more disqualification reasons as applicable)			
<div style="display: flex; flex-direction: column;"> <div><input type="checkbox"/> Submission of false information on the institution's application, including but not limited to a determination that the institution has concealed a conviction for any activity that occurred during the past seven years and that indicates a lack of business integrity. A lack of business integrity includes fraud, antitrust violations, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, making false claims, obstruction of justice, or any other activity indicating a lack of business integrity as defined by the State agency.</div> <div><input type="checkbox"/> Failure to operate the Program in conformance with the performance standards set forth in paragraphs (b)(1)(xviii) and (b)(2)(vii) of this section.</div> <div><input type="checkbox"/> Failure to return to the State agency any advance payments that exceeded the amount earned for serving eligible meals, or failure to return disallowed start-up or expansion payments.</div> <div><input type="checkbox"/> Failure to adjust meal orders to conform to variations in the number of participants.</div> <div><input type="checkbox"/> Claiming reimbursement for a significant number of meals that do not meet Program requirements.</div> <div><input type="checkbox"/> Failure of a sponsoring organization to disburse payments to its facilities in accordance with the regulations at §226.16(g) and (h) or in accordance with its management plan.</div> <div><input type="checkbox"/> Claiming reimbursement for meals served by a for-profit adult day care center during a calendar month in which less than 25 percent of its enrolled adult participants were title XIX or title XX beneficiaries.</div> <div><input type="checkbox"/> Failure by a sponsoring organization to properly train or monitor sponsored facilities in accordance with §226.16(d).</div> <div><input type="checkbox"/> Use of day care home funds by a sponsoring organization to pay for the sponsoring organization's administrative expenses.</div> <div><input type="checkbox"/> Failure to properly implement and administer the day care home termination and administrative review provisions set forth at paragraph (l) of this section and §226.16(f).</div> <div><input type="checkbox"/> Conviction of the institution or any of its principals for any activity that occurred during the past seven years and that indicates a lack of business integrity. A lack of business integrity includes fraud, antitrust violations, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, making false claims, obstruction of justice, or any other activity indicating a lack of business integrity as defined by the State agency.</div> <div><input type="checkbox"/> Permitting an individual who is on the National disqualified list to serve in a principal capacity with the institution or, if a sponsoring organization, permitting such an individual to serve as a principal in a sponsored center or as a day care home.</div> <div><input type="checkbox"/> Failure to comply with the bid procedures and contract requirements of applicable Federal procurement regulations.</div> <div><input type="checkbox"/> Failure to maintain adequate records.</div> <div><input type="checkbox"/> Claiming reimbursement for meals not served to participants.</div> <div><input type="checkbox"/> Use of a food service management company that is in violation of health codes.</div> <div><input type="checkbox"/> Claiming reimbursement for meals served by a for-profit child care center or a for-profit outside-school-hours care center during a calendar month in which less than 25 percent of the children in care (enrolled or licensed capacity, whichever is less) were eligible for free or reduced-price meals or were title XX beneficiaries.</div> <div><input type="checkbox"/> Failure by a sponsoring organization of day care homes to properly classify day care homes as tier I or tier II in accordance with §226.15(f).</div> <div><input type="checkbox"/> Failure to perform any of the other financial and administrative responsibilities required by this part.</div> <div><input type="checkbox"/> The fact the institution or any of the institution's principals have been declared ineligible for any other publicly funded program by reason of violating that program's requirements. However, this prohibition does not apply if the institution or the principal has been fully reinstated in, or is now eligible to participate in, that program, including the payment of any debts owed.</div> <div><input type="checkbox"/> Any other action affecting the institution's ability to administer the Program in accordance with Program requirements.</div> <div><input type="checkbox"/> Other</div> </div>			

Comments			
Responsible Principals/Individuals:			
RPI 1: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;">First Name:</div> <div style="width: 30%;">Middle Name:</div> <div style="width: 30%;">Last Name:</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;">Date of Birth:</div> <div style="width: 30%;">Title:</div> <div style="width: 30%;">Program Debt:</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;"><input type="checkbox"/> Yes</div> <div style="width: 30%;"><input type="checkbox"/> No</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 20%;">Street Number:</div> <div style="width: 40%;">Street Name/PO Box Number:</div> <div style="width: 40%;">Additional Address Information:</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;">City:</div> <div style="width: 30%;">State/Province:</div> <div style="width: 30%;">Zip Code:</div> </div>			
Other Legal Names: (Please enter other legal names below.) <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;">First Name:</div> <div style="width: 30%;">Middle Name:</div> <div style="width: 30%;">Last Name:</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;"><hr/></div> <div style="width: 30%;"><hr/></div> <div style="width: 30%;"><hr/></div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;"><hr/></div> <div style="width: 30%;"><hr/></div> <div style="width: 30%;"><hr/></div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;"><hr/></div> <div style="width: 30%;"><hr/></div> <div style="width: 30%;"><hr/></div> </div>		Note: Users have the ability to validate the address within the National Disqualified List web-based system.	
Note: Users may add and remove individuals prior to saving the record within the NDL web-based system.			

Department of Agriculture, Food and Nutrition Service

**REPORT OF DISQUALIFICATION FROM PARTICIPATION -
INDIVIDUALLY DISQUALIFIED RESPONSIBLE PRINCIPAL/INDIVIDUAL
OR DAY CARE HOME PROVIDER**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. The valid OMB number for this collection is 0584-XXXX. The time required to complete this information collection is 30 minutes per response, including the time to review instructions, to search existing data resources, to gather the data needed, and to complete and review the information collection.

Section 243(c) of Public Law 106-224, the Agricultural Risk Protection Act of 2000, amended § 17(d)(5) of the Richard B. Russell National School Lunch Act (42 U.S.C. 1766 (d)(5)(E)(i) and (ii)) by requiring the Department of Agriculture to maintain a list of institutions, day care home providers, and individuals that have been terminated or otherwise disqualified from Child and Adult Care Food Program (CACFP) participation. The law also required the Department to make the list available to State agencies for their use in reviewing applications to participate and to sponsoring organizations to ensure that they do not employ as principals any persons who are disqualified from the Program. This statutory mandate has been incorporated into § 226.6(c)(7) of the CACFP regulations.

Instructions: Within the National Disqualified List web-based system, users click on "Add Individual" on the task bar to add the disqualification information of an individual (i.e., Day Care Home Provider or an Independent Responsible Principal/Individual. When adding an individual, fields that are marked with an "*" are required to be completed in order to save the record.

Upon entering the address, users click on "Validate Address". If the system does not recognize the address, an error message is displayed and the user must alter the address or override the validation.

Select at least one disqualification reason. If "Other" is selected, it must be explained in the "Additional Comments" section.

If the entered data passes all validations, the individual information is saved into the system when the "Save" button is clicked. After saving the information, State agency users cannot edit the information. If any changes need to be made to the saved record, State agency users must contact the FNS Regional Office to modify the record. After successfully saving the record, the disqualification status of the newly added individual record is set to "Pending". It will display this status until the FNS Regional Office approves the disqualification.

Individual		
Personal Information		
First Name:	Middle Name:	Last Name:
_____	_____	_____
Date of Birth:	Street Number:	Street Name/PO Box Number:
_____	_____	_____
Additional Address Information:		

City:	State/Province:	Zip Code:
_____	_____	_____
Other Names: (Please enter other names below.)		Note: Users have the ability to validate the address within the National Disqualified List web-based system.
First Name:	Middle Name:	Last Name:
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
Disqualification Information		
State Agency Imposing Disqualification:	Region:	
_____	_____	
Termination Date:	Type of Individual Disqualification:	
_____	_____	
Debt Owed:	Original Debt Amount: (Please enter the amount in U.S. dollars)	
<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	
Amount Paid: (Please enter the amount with interest in U.S. dollars)	Date Debt Paid in Full:	
_____	_____	
Name of Provider's Sponsoring Organization or Responsible Principal/Individual's Institutional Affiliation:	Individual's Title with Organization:	
_____	_____	
Disqualification Reasons: (Please select one or more disqualification reasons as applicable)		
<input type="checkbox"/> Submission of false claims for reimbursement. <input type="checkbox"/> Simultaneous participation under more than one sponsoring organization. <input type="checkbox"/> Failure to keep required records. <input type="checkbox"/> A determination that the day care home has been convicted of any activity that occurred during the past seven years and that indicated a lack of business integrity. A lack of business integrity includes fraud, antitrust violations, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, making false claims, obstruction of justice, or any other activity indicating a lack of business integrity as defined by the State agency, or the concealment of such a conviction. <input type="checkbox"/> Failure to participate in training. <input type="checkbox"/> Submission of false information on application. <input type="checkbox"/> Other <input type="checkbox"/> Non-compliance with the Program meal pattern. <input type="checkbox"/> Conduct or conditions that threaten the health or safety of a child(ren) in care, or the public health or safety. <input type="checkbox"/> Any other circumstance related to non-performance under the sponsoring organization-day care home agreement, as specified by the sponsoring organization or the State agency.		
Comments		
<div style="border: 1px solid black; height: 150px; width: 100%;"></div>		

